

**III.A.1.1.1– Transition to successor contractor**

**Background / Current State**

Currently section C.7.3 of the NTIA IANA Functions Contract defines the requirement for a transition to successor contractor plan, located at <https://www.iana.org/reports/2014/transition-plan-201404.pdf>  
 The DT has agreed that while this component of the current contract is based upon a contractual relationship with NTIA it is important for business continuity purposes that a successor operator plan be part of the overall CWG IANA proposal to the ICG and part of the operations and management of the IANA functions going forward.

**Issues Identified & Rationale for Changes, if any**

1. The current successor contractor plan is based upon a contractual relationship with NTIA which will no longer be in place post transition and will have to be amended accordingly.
2. The current transition plan is extremely high level and does not provide a sufficiency of operational detail with which a transition may be executed.
3. An updated framework outlining the steps and requirements of the parties to the implementation of the successor operator plan should be produced to preserve the stability and integrity of the IANA functions during any transition of said functions.
4. As is noted in the recommendations, this proposed text should be seen as a framework, rather than a full plan, and elaboration of an appropriate business continuity plan for the IANA functions based on this framework should occur post transition.

**[Reference the current language of the IANA Functions Contract, if applicable]**

**Proposed Language**

(From ICANN’s current transition plan, see above pdf)

C.7.3 – Plan for Transition to Successor Contractor

Contract requirement

The current IANA Functions contract requires ICANN to provide a plan that would allow ICANN to transition performance of the IANA Functions to a successor organization:

C.7.3 Transition to Successor Contractor – In the event the Government selects a successor contractor, the Contractor shall have a plan in place for transitioning each of the IANA functions to ensure an

**Framework for Transition to Successor IANA Operator:**

Framework Principles

1. The integrity, stability and availability of the IANA functions must be the core concern during any transition of the IANA functions.
2. Both the incumbent and any possible future IANA functions operator will be required to fully engage in the transition plan
3. All involved parties will be required to provide appropriate transition staff and expertise to facilitate a stable transition of the IANA operations.

Framework recommendations:

1. The transition framework outlined in this document should be further developed into a

orderly transition while maintaining continuity and security of operations. The plan shall be submitted to the COR eighteen (18) months after date of contract award, reviewed annually, and updated as appropriate.

Full text in the “proposed language” column.

- detailed, fully functional, transition plan within 18 months of the date of implementation of the overall IANA stewardship transition;
2. The budget for IANA operations should be augmented with specific funding for the detailed transition plan development referred to in 1;
  3. The process established for the potential transitioning of the IANA functions to an operator other than the incumbent (the escalation process) should specifically recognize that the detailed transition plan referred to in 1 must be in place before the commencement of the transitioning process.

Dependencies:

Some elements of this framework may have to be adapted further depending on the CWG names model selected and the final transition proposal from the ICG to NTIA.

There may be additional dependencies related to the work of other CWG Design Teams, including:

- DT-F NTIA, IANA and RZM
- DT-M Escalation
- DT-N Periodic Review
- DT-O Budget

Additionally, part of the final proposal development work will need to identify those elements/clauses of the CWG’s proposal that are relevant to the transition framework (using the NTIA-ICANN contract clauses table in C.7.3 for guidance).

Note on terminology:

While the current plan is based on a contractual relationship between the NTIA and ICANN we have elected to refer to the “operator” of the IANA functions rather than “contractor” for the purposes of this document. So ICANN as the current operator is referred to as the Incumbent IANA Operator (IIO) and the successor operator is referred to as the Successor IANA Operator

(SIO).

(Revised) plan:

#### Framework for Transition to Successor IANA Operator

This framework plan outlines key actions that would allow the incumbent IANA operator (IIO) to ensure an orderly transition of the IANA functions to a successor IANA operator (SIO) while maintaining continuity and security of operations.

#### Document Structure

This document identifies those functions, systems, processes and documents that might need to be transitioned, including actions that would be required.

Additional documents of importance to a transition include (on CWG DT-L wiki):

- Current KSK Operator Function Termination Plan
- Current CCOP (DIDP refused)
- Current ICANN Plan for Transition to Successor Contractor

#### Transition Actions:

1. **IANA website:** The Incumbent IANA Operator would transfer the IANA website including the administrative passwords for managing the website; and provide copies of, or links to, the publicly available text for all processes, performance standards, request templates and other pages used to support operations or provide context to reporting. [Placeholder text: Depending on the transition model selected, all IPR related to the IANA website and published documents will need to be assigned or licensed to the successor contractor]
2. **IANA Functions registry data** The Incumbent IANA Operator would provide a copy of all registry data for Protocol Parameter and

Internet Number Resources registries, including a copy of the .ARPA zone file<sup>1</sup>. The Incumbent IANA Operator would also provide the public registration data for the root DNS zone, along with management information, such as special instructions from governments and non-public contact information associated with TLDs. The Incumbent IANA Operator would provide a copy of the .INT zone file, along with the contact information for the registrants.

3. **Root Zone Automation system:** The Incumbent IANA Operator would transfer the existing Root Zone Management software suite and relevant APIs, along with the source code, and documentation including any/all existing descriptions of functional requirements, explanations of source code and manuals for using the suite. The Incumbent IANA Operator would also transfer all essential machinery required for continued operation of the suite.
4. **Request history data:** The Incumbent IANA Operator would provide a copy of the databases it has used to store requests data, including ticketing systems and workflow management systems used for protocol parameter registries and the maintenance of the Root DNS Zone. The Incumbent IANA Operator would also provide copies of any published reports and paper records it holds supporting these request histories.
5. **Documentation and Knowledge:** The Incumbent IANA Operator would provide a copy of all documentation that captures formalized processes, institutional knowledge and experience related to the operation of the IANA function. The IIO is also encouraged to provide documentation related to Monthly Performance Progress reports, Customer Satisfaction Surveys, External Auditor reports, Conflicts of Interest processes established by the IIO, and the IIO's Contingency and Continuity of Operations Plan.
6. **Secure notification system data** The Incumbent IANA Operator would provide details of the notification categories, the subscribers to

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<sup>1</sup> Needs to be checked whether or not a copy of the .ARPA zone file comes from the IANA operator or the RZ Maintainer

those categories and a history of notifications.

7. **Root KSK transition** In 2010, ICANN developed a Root Zone KSK Operator Function Termination Plan that sets out the steps ICANN would take if required to transition its duties and responsibilities as the Root Zone Key Signing Key (KSK) operator to another entity. This plan was provided to NTIA in 2010<sup>2</sup>. That plan requires that a full KSK rollover be done so the successor starts fresh.<sup>3</sup>
8. **Transition Assistance:** The Incumbent IANA Operator would assist the successor operator during the transition period until the time the requisite service levels, security and stability are achieved. Such assistance would include training the employees of the successor operator and developing training material.
9. **Security for data retention:** The Incumbent IANA Operator would continue to provide security for any data retained by it after transferring such data to the successor contractor.

#### Conclusion

This document describes what the incumbent IANA operator would need to transition to allow a successor operator to perform the IANA Functions.

#### Outstanding questions:

Who will own the IANA website will depend on the final model selected by the CWG. Will the ownership of website be transferred to the successor contractor or will only the authority of managing the website be transferred to the successor contractor? Suggest that ICANN or

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<sup>2</sup> [KSK Termination Plan \(June 2010\)](#)

<sup>3</sup> Given that there has up to now never been such a KSK roll-over and given the desire to maintain stability of security of the root zone a somewhat lighter procedure can be followed (tbd). The important part is the transfer of administration of the HSMs, related infrastructure and the operation of the key ceremonies. This is not unlike the process that will take place in April 2015 when the Hardware Security Modules (HSM) are going to be replaced - see: <https://www.icann.org/news/announcement-3-2015-03-23-en>

the IETF Trust retain ownership of the domain name and only the administrative authority to manage the website be transferred.